

# Completing the Company Registry Commercialization Report: Instructions and Definitions

## Reference Guide



<b>Purpose of this document</b>	The purpose of this document is to provide step by step instructions and definitions to aid users in the completion of the Company Commercialization Report (CCR).
<b>Commercialization Glossary</b>	<p>SBIR - Small Business Innovation Research program</p> <p>STTR - Small Business Technology Transfer program</p> <p>SBC - Small Business Concern</p> <p>DOD - United States Department of Defense</p> <p>IPO - Initial Public Offering</p> <p>VCOC - Venture Capital Operating Companies</p> <p>HF - Hedge Fund</p> <p>PE - Private Equity</p> <p>R&amp;D - Research and Development</p>

## Definitions

**"Sales"** includes cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under this Phase II project.

- Count only such revenue accruing to your firm and not to other entities. If your firm sold or licensed the technological know-how developed under Phase II to another entity, enter the cash revenue accruing to the other entity from its sale of new products or non-R&D services embodying the Phase II technology in the "3rd Party Revenue" field, not with your firm's sales figures.
- If the new product/service embodying the Phase II technology is a component of a larger product/service (e.g., an improved coating on an existing optical lens product), count only the sales attributable to the component rather than the larger product/service.

**"Sales"** does not include:

- SBIR/STTR contracts or grants (Phase I or II), or revenue from any other R&D activities, including follow-on R&D contracts or grants. "R&D activities" include any activities directed toward reducing the technical risk of the technology.
- Revenue from your firm's sales to an affiliate of your firm. (13CFR121.103)

**"3rd Party Revenue"** (if known):

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Includes cash revenues received by an entity other than your firm from the sale of new products or non-R&D services derived from the specific technology developed under this Phase II project, for example through a license agreement or spin-off. Only count the portion of 3rd Party Revenues that accounts for the SBIR/STTR technology's share of the total product or service. Example: If a new coating for helicopter blades developed under a SBIR/STTR Phase II project is used by a 3rd Party Manufacturer, count only the 3rd Party revenues attributed to the blade coating, not the entire helicopter.

**"Additional Investment"** includes investment by any source other than the federal SBIR/STTR programs (Phase I or Phase II) in activities that further the development and/or commercialization of the specific technology developed under the Phase II project. Examples of such activities include:

- Additional R&D on the Phase II technology
- Manufacturing/production start-up
- Purchase of plant and equipment for manufacturing/production
- Protection of intellectual property
- Obtaining certifications
- Marketing start-up and marketing; and
- Training of workforce to manufacture or sell new products embodying the Phase II technology

These may be activities funded and conducted by your firm or by other entities.

**"Fielded Federal System" or "Acquisition program"** refers to an acquisition program's plan that details the steps, actions and responsibilities of the fielding and successful deployment of a supported materiel system. Acquisition program is a federal procurement initiative.

**"Cost Saving or Cost Avoidance"** refers to a reduction in actual expenditures below the projected level of costs to achieve a specific objective. Cost Avoidance is an action taken in the immediate time frame that will decrease costs in the future.

**"Allocation of Rights Agreement"** between a small business concern and a research institution establishes the intellectual properties rights of the parties prior to the subcontract being issued.

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### Reminder

As you prepare to complete your Company Registry Commercialization Report please remember these Do's and Don'ts

### Do's and Don'ts

1. Do not include Phase I or Phase II SBIR/STTR awards in *sales* or *investment*.
2. Do not count the same item as both *sales* and *additional investment*.
3. Additional R&D services should be recorded as *additional investment*, not *sales*.
4. If two or more Phase II projects contributed to a single new product that has generated sales revenue and/or additional investment, apportion the sales and investment among the contributing projects without double-counting. Example: Phase II projects A and B lead to a new software product that has generated sales of \$10 million to the Army and \$12 million to retail software stores. For both projects A and B, enter \$5 million for sales to DOD and \$6 million for sales to the private sector.
5. Count only actual sales and investment dollars received to date, not projected sales or investment. For sales to or investment by the government, count only the amount of government funding that has been obligated to date and not the total award amount.
6. Outside (non-SBIR/STTR) funding received through the Fast Track and/or Phase II Plus/Enhancement/IIB programs, should be reported as *additional investment*, but do not include the government SBIR matching funds.
7. For purposes of this report, your "firm" includes all affiliates. (Reference 13CFR121.103)
8. Only report sales and investment figures on Phase II awards received by your firm. In the case of novation or company acquisition, do not count commercialization accrued to the original firm prior to the novation or acquisition, and explain these special circumstances in the narrative.

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### Instructions

For each SBIR and STTR Phase II award received to date from any Federal agency, provide current and accurate commercialization - sales and/or additional investment - resulting from, extending, or completing the Phase II project. To view or print the information currently contained in the Company Registry Commercialization Report, go to "My Dashboard" > "My Documents" located at [www.sbir.gov](http://www.sbir.gov).

### Step 1: Create/ Update Commercialization

1. Once signed into your company dashboard scroll down and click on the create/update Commercialization tab under "Current Report Version".

PERFORMANCE BENCHMARK RATES		
	At Last Assessment	Running Tab for Next Assessment
Transition Rate	N/A	N/A
Commercialization Rate	N/A	N/A

These benchmark requirements apply only to those companies that have received more than 20 Phase I awards over the past 5 years (Transition Rate) or more than 15 Phase II awards over the past 10 years (Commercialization Rate). If your company has not won the threshold number of awards for a benchmark, the table above will show "N/A" instead of the rate. Click [here](#) for more information on the Performance Benchmark requirements.

? If you have any questions or concerns about any of your Performance Benchmark Rates listed above, click [here](#) to send your feedback.

When updating existing report user will see and click here

**MY COMMERCIALIZATION**

**Guide/Instructions**

[Download Instructions](#) [Download Guide](#)

**Report Version History**

There are no previous versions to display.

**Current Report Version**

[Update Commercialization](#)

When creating a new report user will see and click here

**Report Version History**

We've noticed that your firm has not received any investments or generated revenue based on the work performed under any of your SBIR/STTR awards. If you have such information to report, please click on "Create Commercialization" button below.

**Current Report Version**

[Create Commercialization](#)

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### Step 2: Company, Company POC and Commercialization POC

1. Verify that all displayed “Company, Company POC” information is accurate and up to date, this information is pulled from the Company registration.
2. If you are creating a new Commercialization Report, you must add a Commercialization POC. If you are updating you may verify and update the stored POC information.
3. Click on the edit button next to the individual section to make necessary updates and edits and fill in all required fields for the completion of the report. (All Fields with an \* symbol are required for the completion of these sections)

#### ABC Corporation

Total Investments:	Total Sales:	Total Patents:	* CAI:
\$0.00	\$0.00	0	0

\*CAI is calculated 1st of every month for all the organizations. This might change your firms CAI.

#### Company Information

Edit

**Address:** 45336 Vintage Park Plaza, Sterling, VA, 20166  
**SBC Control ID:** SBC\_001708011 **Company Url:**

#### Company POC

Edit

#### Commercialization POC

Edit

**Title:** BO  
**Full Name:** FName LName  
**Phone:** 5555555555  
**Email:** abc@example.com

**Title:**  
**Full Name:**  
**Phone:**  
**Email:**

# Completing the Company Registry Commercialization Report: Instructions and Definitions

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### Step 3: Additional Company Information

1. Verify and edit the “Additional Company Information” by clicking on the edit button on top of the section. Fill out all felids marked with an (\*) for they are required for the submission of the report.

Additional Company Information
Edit

<b>% Revenue for last fiscal year from SBIR/STTR funding:</b>	<b>Total revenue for last fiscal year:</b>
0%	
<b>Year Founded:</b>	<b># Employees Currently:</b>
N/A	1
<b>Year first Phase I award received:</b>	<b># SBIR/STTR Phase I Awards:</b>
N/A	N/A
<b>Year first Phase II award received:</b>	<b># SBIR/STTR Phase II Awards:</b>
N/A	N/A
<b># Employees at first Phase II award:</b>	<b>Mergers and Acquisition within past 2 years:</b>
N/A	No
<b>Spin-offs resulting from SBIR/STTR:</b>	<b>IPO resulting from SBIR/STTR   Year of IPO:</b>
No	No   N/A
<b>Patents resulting from SBIR/STTR   #Patents:</b>	<b>List of Patents:</b>
No   N/A	
<b>Woman-Owned:</b>	<b>Socially and Economically Disadvantaged:</b>
N	N
<b>HUBZone-Certified:</b>	<b>SBC majority-owned by multiple VCOC, HF, PE firms   By what percent (%):</b>
Y	Yes   51%

### Step 4: Additional Investments From and Phase III Sales To

1. The “Additional Investment From” section is auto populated; no edits can be made to these sections of the report.
2. The “Phase III Sales To” section is auto populated; no edits can be made to these sections of the report.

Additional Investment From (Year over Year)			
	2018	2019	2020**
DoD contracts/DoD subcontracts	-	-	\$0.00
Angel Investors	-	-	\$0.00
Venture Capital	-	-	\$0.00
Self Funded	-	-	\$0.00
Private Sector	-	-	\$0.00
Other Federal Contracts/Grants	-	-	\$0.00
Other Sources	-	-	\$0.00
Additional Investment	-	-	\$0.00
Total Investment	-	-	\$0.00
Phase III Sales To (Year over Year)			
	2018	2019	2020**
DoD or DoD prime contractors	-	-	\$0.00
Private Sector	-	-	\$0.00
Export Markets	-	-	\$0.00
Other Federal Agencies	-	-	\$0.00
Additional commercialization by 3rd Party Revenue	-	-	\$0.00
Other Customers	-	-	\$0.00
Additional Sales	-	-	\$0.00
Total Sales	-	-	\$0.00

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### Step 5: Commercialization Narrative

1. The next section consists of the Commercialization Narrative (optional). This section may be used for the following:  
You may include a brief optional narrative discussing your firm's commercialization track record, including such items as
  - Commercialization successes that are not fully reflected in the quantitative results (e.g. commercialization resulting from your firm's prior Phase I projects);
  - Any mitigating factors that could account for low commercialization; and
  - Recent changes in the firm's organization or personnel designed to increase the firm's commercialization success

Commercialization Narrative

Edit

1

- Commercialization successes that are not fully reflected in the quantitative results (e.g. commercialization resulting from your firm's prior Phase I projects);
- Any mitigating factors that could account for low commercialization; and
- Recent changes in the firm's organization or personnel designed to increase the firm's commercialization success

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## Step 6: Commercialized Awards

1. All recorded awards will be displayed under the “Commercialized Awards” section. If there are no commercialized awards that exist, and a new report is being created the following screen will be displayed. – (Proceed to number 3)

Phase III Sales To (Year over Year)			
	2018	2019	2020**
DoD or DoD prime contractors	-	-	\$0.00
Private Sector	-	-	\$0.00
Export Markets	-	-	\$0.00
Other Federal Agencies	-	-	\$0.00
Additional commercialization by 3rd Party Revenue	-	-	\$0.00
Other Customers	-	-	\$0.00
Additional Sales	-	-	\$0.00
Total Sales	-	-	\$0.00

Commercialization Narrative

Edit

### Commercialized Awards

We've noticed that your firm has not received any investments or generated revenue based on the work performed under any of your SBIR/STTR awards. If you have such information to report, please click [here](#).

Submit Commercialization Report

New Report Screen: no commercialized awards to display.

2. If there are existing awards they will be listed under “Commercialized Awards” as shown by the screen below. They can be edited or removed using the edit or remove buttons associated with each recorded award.

Commercialization Narrative

Edit

### Commercialized Awards

- Listed below are the sales revenue and investment details resulting from the technology developed under these SBIR/STTR awards. Click Edit to update the figures.
- To report additional sales revenue and investments resulting from the work performed under your SBIR/STTR awards, please click [here](#).

Award Title	Program	Phase	Contract Number
	<input checked="" type="radio"/> All <input type="radio"/> SBIR <input type="radio"/> STTR	<input checked="" type="radio"/> All <input type="radio"/> Phase I <input type="radio"/> Phase II	
			Program Year
			<input type="checkbox"/> 2020 <input type="checkbox"/> 2019 <input type="checkbox"/> 2018

#### Universal Non-Intrusive Battery Monitoring and Failure Prediction System

2

Remove

Edit

1 of 164

Agency/Branch:	Department of Defense/Navy	Manufacturing related	No   N/A
Program/Phase/Year:	SBIR/Phase II/2018	Subsidiaries	N/A
Topic #:	N161-047	Other contributing SBIR/STTR awards	N/A
Contract/Grant #:	N68335-18-C-0227	Used in Federal or acquisitions program?	No
Achieved a cost saving or cost avoidance?:	No		
Additional Investment From		Phase III Sales To	
DoD contract/subcontract:	\$0.00	DoD or DoD prime contractors:	\$0.00
Other Federal contract/grants:	\$0.00	Other Federal Agencies:	\$0.00
Angel Investors:	\$0.00	Private Sector:	\$0.00
Venture Capital:	\$0.00	Export Market:	\$0.00
Self-Funded:	\$0.00	3rd Party Revenue:	\$0.00
Private Sector:	\$0.00	Other Customers:	\$0.00
Other Sources:	\$0.00		
Investment Total:	\$0.00	Sales Total:	\$0.00

Existing Report Screen: shows prior commercialized awards and edit/remove option.



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3. To add an award's commercialization, or to report any additional sales revenue click on the "here" button
4. Fill in the "Report any additional sales revenue and investments" fields to search for awards

### Commercialized Awards

We've noticed that your firm has not received any investments or generated revenue based on the work performed under any of your SBIR/STTR awards. If you have such information to report, please click [here](#).

**Report any additional sales revenue and investments** ×

Click on the respective Add button to report any additional sales revenue and investments resulting from the work performed under the following SBIR/STTR awards

Award Title	Program	Phase	Contract Number
<input type="text"/>	<input checked="" type="radio"/> All <input type="radio"/> SBIR <input type="radio"/> STTR	<input checked="" type="radio"/> All <input type="radio"/> Phase I <input type="radio"/> Phase II	<input type="text"/>
Program Year			
<input type="checkbox"/> 2020			
<input type="checkbox"/> 2019			
<input type="checkbox"/> 2018			

**No Record Found**

Close

Submit Commercialization Report

5. You may search by the "Award Title"
6. You may also search by the "Contract Number"
7. Find the award you would like to add
8. Click on the "Add" the button under Action to add

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**Report any additional sales revenue and investments**

Click on the respective Add button to report any additional sales revenue and investments resulting from the work performed under the following SBIR/STTR awards

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Award Title

Program

☒ All  
☐ SBIR  
☐ STTR

Phase

☒ All  
☐ Phase I  
☐ Phase II

6

Contract Number

Program Year

☐ 2020  
☐ 2019  
☐ 2018

Results 1 - 1 Total

Award Title	Program	Phase	Year	Contract Number	Action
Test Award	SBIR	Phase I	2020	123456789	<div>8</div> <div>Add</div>

Close

- On the next screen that opens verify that the displayed award information is accurate
- The information provided in the box under the award title cannot be edited or removed.

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About ▾ Funding ▾ Reports ▾ Showcase ▾ Announcements ▾ Resources ▾

Home » SBC Dashboard » View Commercialization » Add/Edit Commercialized Award

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**Test Award**






Agency / Branch	Department of Transportation	Program / Phase	SBIR / Phase I
Contract #	123456789	Agency Tracking #	ABC123
Topic #	1234	Year Awarded	2020






- Fill in the information related to the Award on this next screen. If you click yes, some of the questions will require answers to related sub questions.
- All fields marked with an (\*) are required fields and needed for the completion of the award.

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Welcome, jkaur  My Account  My Dashboard  Contact Us  Search 

About  Funding  Reports  Showcase  Announcements  Resources

Home » SBC Dashboard » View Commercialization » Add/Edit Commercialized Award

## Test Award

Agency / Branch	Department of Transportation	Program / Phase	SBIR / Phase I
Contract #	123456789	Agency Tracking #	ABC123
Topic #	1234	Year Awarded	2020

Production/Commercialization

Product

Has the technology developed under this project been used in a fielded Federal system or acquisition program? \*

☒ No  
☐ Yes

List other SBIR or STTR awards that can also be contributed to this commercialization success. (List as semicolon delimited)

Manufacturing

Is the technology developed under this project related to manufacturing? \*

☒ No  
☐ Yes

Cost Saving

Has the technology developed under this project achieved a cost saving or cost avoidance for the government or end user? \*

☒ No  
☐ Yes

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13. If additional information is required for any given section user can click on the associated question mark symbol to get further information and details on how to complete the section.

Names of Companies established for Product/Commercialization:

Company 1

Company 2

Company 3

Company 4

Company 5

Additional Investment From

DoD contracts/DoD subcontracts \*

Angel Investors \*

Venture Capital \*

Self Funded \*

Other Federal Agencies or Prime Contractor contracts/grants \*

Private Sector \*

Other Sources \*



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## Field Additional Information

'Additional Investment' includes investment by any source other than SBIR/STTR Phase I or Phase II awards in activities that further the development and/or commercialization of the specific technology developed under this Phase II project. Examples of such activities include:

- Additional R&D on the Phase II technology;
- Manufacturing/production start-up;
- Purchase of plant and equipment for manufacturing/production;
- Protection of intellectual property;
- Obtaining certifications;
- Marketing start-up and marketing; and
- Training of workforce to manufacture or sell new products embodying the Phase II technology.

These may be activities funded and conducted by other entities or by your firm itself.

Close

# Completing the Company Registry Commercialization Report: Instructions and Definitions

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14. In the "Phase III Sales to" section all fields are required.
15. If additional information is needed on what each field is asking for click on the associated question mark symbol for further clarification.

**Phase III Sales to**

**DoD or DoD prime contractors \***

**Other Federal Agencies \***

**Export Markets \***

**Private Sector \***

**Additional commercialization by 3rd Party Revenue \***

**Other Customers \***

**Field Additional Information**

'SALES' is broadly defined to include all cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under this Phase II project. It also includes any revenues from the sale or licensing of technology, technological know-how, or intellectual property developed under the Phase II.

Count only such revenue accruing to your firm and not to other entities. If your firm sold or licensed the technological know-how developed under a Phase II award to another entity, enter the cash revenue accruing to the other entity from its sale of new products or non-R&D services embodying the Phase II technology in the '3rd Party Revenue' field, not with your firm's sales figures.

Count only the sales directly related to the Phase II work. If the new product/service embodying the Phase II technology is a component of a larger product/service (e.g., an improved coating on an existing optical lens product), count only the sales attributable to the component rather than the larger product/service.

Do not count SBIR/STTR contracts or grants (Phase I or II), or revenue from any other R&D activities, including follow-on R&D contracts or grants.

Close

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16. If you have any Phase III awards to report click on the yes button and more questions will show up.

Other Customers \*

Phase III

Do you have a Phase III award to report? \*

☐ No

☒ Yes

17. Fill in the associated fields as shown below and after all fields are filled click the save button.

# Completing the Company Registry Commercialization Report: Instructions and Definitions Reference Guide



Please provide details below:

Funding Agreement/Contract#

Project Title

Year Awarded

Value \$

Agency (Please select one or more agencies below)

- Department of the Interior
- Department of Transportation
- Department of Homeland Security
  - Countering Weapons of Mass Destruction
  - Domestic Nuclear Detection Office
  - Domestic Nuclear Detection Office SBIR Program
- Science and Technology Directorate
- Department of Health and Human Services
  - National Institutes of Health
- Environmental Protection Agency
- National Aeronautics and Space Administration
- National Science Foundation
- Department of Energy
  - ARPA-E
- Department of Defense
  - Air Force
  - Army
  - Defense Advanced Research Projects Agency
  - Defense Health Program
  - Defense Logistics Agency
  - Defense Microelectronics Activity
  - Defense Threat Reduction Agency
  - Missile Defense Agency
  - National Geospatial-Intelligence Agency
  - Navy
  - Office for Chemical and Biological Defense
  - Office of the Secretary of Defense
  - Special Operations Command
- Department of Commerce
  - National Institute of Standards and Technology
  - National Oceanic and Atmospheric Administration
- Department of Education
  - Institute of Education Sciences
  - Office of Special Education and Rehabilitative Services / National Institute on Disability and Rehabilitation Research
- Department of Agriculture
  - National Institute of Food and Agriculture

Save

Cancel

# Completing the Company Registry Commercialization Report: Instructions and Definitions Reference Guide



## Step 7: Submission of Commercialization Report

1. After all information has been reported click on the “Submit Commercialization Report” button to submit the report.

Phase III Sales To (Year over Year)			
	2018	2019	2020**
DoD or DoD prime contractors	-	-	\$0.00
Private Sector	-	-	\$0.00
Export Markets	-	-	\$0.00
Other Federal Agencies	-	-	\$0.00
Additional commercialization by 3rd Party Revenue	-	-	\$0.00
Other Customers	-	-	\$0.00
Additional Sales	-	-	\$0.00
Total Sales	-	-	\$0.00

### Commercialization Narrative

[Edit](#)

You may include here a brief optional narrative discussing your firm's commercialization track record, including such items as

- Commercialization successes that are not fully reflected in the quantitative results (e.g. commercialization resulting from your firm's prior Phase I projects);
- Any mitigating factors that could account for low commercialization : and
- Recent changes in the firm's organization or personnel designed to increase the firm's commercialization success

### Commercialized Awards

We've noticed that your firm has not received any investments or generated revenue based on the work performed under any of your SBIR/STTR awards. If you have such information to report, please click [here](#).

[Submit Commercialization Report](#)[Subscribe to Newsletter](#)[Contact Us](#)[Site Map](#)[Privacy Policy](#)[Report Fraud, Waste & Abuse](#)[Open Government](#)[Advocacy](#)[Inspector General](#)[USA.gov](#)[SBA.gov](#)

2. If there are any required fields that are missing, you will see the error messages at the top of the screen. All error messages need to be corrected before you can continue to submit.
3. If there are no errors after you click the “Submit Commercialization Report” the below Certify/Submit screen will appear.



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## Certify/Submit

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I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the commercialization information provided here is true and correct, as of the date of submission, to the best of my knowledge. I acknowledge that any intentional misrepresentation of the information reported in this commercialization questionnaire may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. § 1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. § 3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. § 3801 et seq.); (4) civil recovery of award funds; (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180; and (6) other administrative penalties including termination of SBIR/STTR awards.

☐ I have read and agree to the statement above.\*

☐ No Phase I or II SBIR or STTR funds have been counted as "sales" or "investment".\*

☐ No Phase I projects are listed in your commercialization report.\*

☐ Your reported "sales" includes only cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under Phase II.\*

☐ If your new product/service embodying the Phase II technology is a component of a larger product/service, your reported "sales" includes only the sales attributable to the component rather than the larger product/service.\*

☐ Your reported "additional investment" includes only investment in activities that further the development and/or commercialization of the specific technology developed under Phase II.\*

☐ Your commercialization report apportions sales and investment among contributing SBIR projects without double-counting.\*

☐ For sales to or investment by the government, only the amount of government funding that has been obligated to date, and not the total award amount, is counted as "sales" or "investment".\*

☐ Your reported "sales" includes only the sales accruing to your firm or another entity to which your firm sold or licensed the technological know-how.\*

☐ Your reported "sales" does not include revenue from the sale or license of technological know-how, does not include revenue from any R&D activities, and does not include sales to an affiliate of your firm.\*

Certify/Submit Commercialization

Cancel

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4. You must read and click the boxes next to each statement if you agree with what is stated in each pertaining field.
5. All boxes need to be checked off before you can submit the report successfully.

# Completing the Company Registry Commercialization Report: Instructions and Definitions Reference Guide



## Certify/Submit

I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the commercialization information provided here is true and correct, as of the date of submission, to the best of my knowledge. I acknowledge that any intentional misrepresentation of the information reported in this commercialization questionnaire may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. § 1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. § 3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. § 3801 et seq.); (4) civil recovery of award funds; (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180; and (6) other administrative penalties including termination of SBIR/STTR awards.

☒ I have read and agree to the statement above. \*

☒ No Phase I or II SBIR or STTR funds have been counted as "sales" or "investment." \*

☒ No Phase I projects are listed in your commercialization report. \*

☒ Your reported "sales" includes only cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under Phase II. \*

☒ If your new product/service embodying the Phase II technology is a component of a larger product/service, your reported "sales" includes only the sales attributable to the component rather than the larger product/service. \*

☒ Your reported "additional investment" includes only investment in activities that further the development and/or commercialization of the specific technology developed under Phase II. \*

☒ Your commercialization report apportions sales and investment among contributing SBIR projects without double-counting. \*

☒ For sales to or investment by the government, only the amount of government funding that has been obligated to date, and not the total award amount, is counted as "sales" or "investment." \*

☒ Your reported "sales" includes only the sales accruing to your firm or another entity to which your firm sold or licensed the technological know-how. \*

☒ Your reported "sales" does not include revenue from the sale or license of technological know-how, does not include revenue from any R&D activities, and does not include sales to the date of your firm. \*

Certify/Submit Commercialization

Cancel

- When you check off all boxes the Certify/Submit button will become available to click and submit
- Click on the blue button "Certify/Submit Commercialization" to submit the report.

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## Step 8: Download pdf

1. Once you submit the report, the system will go back to the “My Dashboard” screen.

**COMPANY PROFILE** Unverified by SAM.gov

Test Firm  
123 Main Street  
Ashburn, AL 20148  
DUNS: 112233446  
EIN:

[Edit Profile](#) [View Profile](#)

**MY DOCUMENTS**

SBC Control ID:  
[Download SBC Registration \(Proof of Registration/Certification\)](#)  
[Download Company Commercialization Report](#)

**PERFORMANCE BENCHMARK RATES**

	At Last Assessment	Running Tab for Next Assessment
Transition Rate	N/A	N/A
Commercialization Rate	N/A	N/A

These benchmark requirements apply only to those companies that have received more than 20 Phase I awards over the past 5 years (Transition Rate) or more than 15 Phase II awards over the past 10 years (Commercialization Rate). If your company has not won the threshold number of awards for a benchmark, the table above will show "N/A" instead of the rate. [Click here](#) for more information on the Performance Benchmark requirements.  
If you have any questions or concerns about any of your Performance Benchmark Rates listed above, [click here](#) to send your feedback.

**MY COMMERCIALIZATION**

**Guide/Instructions**  
[Download Instructions](#) [Download Guide](#)

**Report Version History**

Version #	Submitted Date	Action(s)
1	08-28-2020 18:12	<a href="#">View</a>

**Summary of Latest Published Version**

Investment Total:	\$ 0.00
Sales Total:	\$ 0.00
Number of Patents:	N/A
CAI (At time of submission):	0
CAI (Monthly Calculation):	0

**Current Report Version**  
[Create Commercialization](#)

### \*\*\*\* NOTE\*\*\*\*

As you submit SBIR/STTR Phase I and Phase II proposals some Federal agencies may request you include a copy of your Company Commercialization Report. You may download a timestamped PDF copy here.

2. Download the “Company Commercialization Report” pdf from My Dashboard under the My Documents section of the dashboard.

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## Reference Guide



3. The below image is an example of what the Commercialization Report pdf looks like



### SBIR Company Commercialization Report

#### Test Firm

Total Investments:	Total Sales:	Total Patents:	* CAI:
\$0.00	\$0.00	0	0

*\*This CAI is calculated at the time of submission. CAI is calculated 1st of every month for all the organizations. This might change your firms CAI. Please visit our company dashboard on SBIR.Gov to view the most recent CAI for your organization.*

#### Company Information

**Address:** 123 Main Street, Ashburn, AL, 20148  
**SBC Control ID:** SBC\_001707977 **Company Url:**

#### Company POC

**Title:**  
**Full Name:** Joe Smith  
**Phone:** 7031234567  
**Email:** joesmith@gmail.com

#### Commercialization POC

**Title:** Com POC  
**Full Name:** Joe Smith  
**Phone:** () -  
**Email:** joes@gmail.com

#### Additional Company Information

% Revenue for last fiscal year from SBIR/STTR funding:	Total revenue for last fiscal year:
30.0%	< \$100,000
Year Founded:	# Employees Currently:
2019	40
Year first Phase I award received:	# SBIR/STTR Phase I Awards:
2020	1
Year first Phase II award received:	# SBIR/STTR Phase II Awards:
2020	1
# Employees at first Phase II award:	Mergers and Acquisition within past 2 years:
40	No
Spin-offs resulting from SBIR/STTR:	IPO resulting from SBIR/STTR   Year of IPO:
No	No   N/A
Patents resulting from SBIR/STTR   #Patents:	List of Patents:
No   N/A	
Woman-Owned:	Socially and Economically Disadvantaged:
Unavailable	Unavailable
HUBZone-Certified:	SBC majority-owned by multiple VCOC, HF, PE firms   By what percent (%):
Unavailable	No   N/A

#### Additional Investment From (Year over Year)

	2018	2019	2020
DoD contracts/DoD subcontracts	-	-	\$0.00
Angel Investors	-	-	\$0.00
Venture Capital	-	-	\$0.00
Self Funded	-	-	\$0.00
Private Sector	-	-	\$0.00
Other Federal Contracts/Grants	-	-	\$0.00
Other Sources	-	-	\$0.00
Additional Investment	-	-	\$0.00